



# TRANSMITTAL FORM

Application Serial Number	10/008,599
Filing Date	December 3, 2001
First Named Inventor	Ponomarenko
Group Art Unit	2121
Examiner Name	Not Yet Assigned
Attorney Docket No.	BKE-004 (7991/6)
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal	<input type="checkbox"/> Status Inquiry
<input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Form PTO-1449 <input type="checkbox"/> Copies of IDS Citations	<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)	<input checked="" type="checkbox"/> Return Receipt Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
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	<input checked="" type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
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### SIGNATURE BLOCK

Respectfully submitted,  
  
Date: September 19, 2002  
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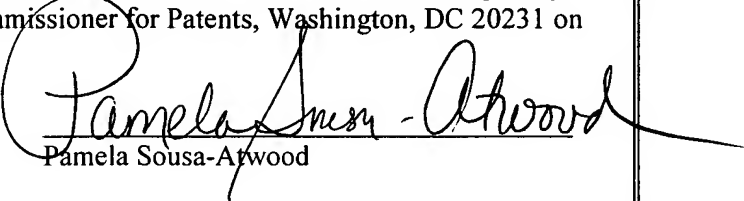
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Ponomarenko  
SERIAL NO.: 10/008,599 GROUP NO.: 2121  
FILING DATE: December 3, 2001 EXAMINER: Not Yet Assigned  
TITLE: Optical Multi-Gate Device and Method

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CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on September 19, 2002.

  
Pamela Sousa-Arwood

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith is/are:

1. Transmittal Form (1 page);
2. Statement Regarding Small Entity Status (1 page);
3. Certificate of First Class Mailing Under 37 CFR 1.8; and
4. Return Receipt Postcard.

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**STATEMENT REGARDING SMALL ENTITY STATUS**

Attorney Docket No. BKE-004

Applicant, Patentee, or Identifier: **Ponomarenko**  
 Application or Patent No.: **10/008,599**  
 Date Filed or Issued: **December 3, 2001**  
 Title: **Optical Multi-Gate Device and Method**

NAME OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: **LROPTICS INC.**

ADDRESS OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: **1201 Market Street, Suite 1600, P.O. Box 1709, Wilmington, Delaware 19899-1709**

I hereby state that the above identified small business concern or nonprofit organization qualifies as a small business concern as defined in 37 CFR 1.27 for purposes of paying reduced fees to the United States Patent and Trademark Office. For a small business concern, the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern or nonprofit organization identified above with regard to the invention described in:

- ☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern or nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must execute separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

- ☒ No such person, concern, or organization having any rights in the invention exists.  
☐ Each such person, concern, or organization having any rights in the invention is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

NAME OF PERSON SIGNING **AMI LUSTIG**

TITLE OF PERSON SIGNING \_\_\_\_\_

ADDRESS OF PERSON SIGNING \_\_\_\_\_

SIGNATURE *[Signature]*

DATE

**24.06.2002**

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